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ATTORNEY DOCKET NO. 10004278-1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): Mikes, et al.

Serial No.:

Examiner:

Filing Date: October 10, 2003

Group Art Unit:

Title: SYSTEM AND METHOD FOR USING A CONCENTRIC SPECTROMETER TO MULTIPLEX OR DEMULTIPLEX OPTICAL SIGNALS

COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

This Information Disclosure Statement is submitted:

- (a) ☒ Under 37 CFR 1.97(b).
(Within three months of filing national application; or date of entry of national application; or before mailing date of first Office action on the merits; whichever occurs last).
- (b) ☐ Under 37 CFR 1.97(c) together with *either* a:
☐ Statement under CFR 1.97(e), or
☐ \$180.00 fee under 37 CFR 1.17(p).
(After the CFR 1.97(b) time period, but before a final action or notice of allowance, whichever occurs first).
- (c) ☐ Under 37 CFR 1.97(d) together with: a
Statement under 37 CFR 1.97(e), *and*
\$180.00 fee as set forth in 37 CFR 1.17(p).
(After a final action or notice of allowance, whichever occurs first, but before payment of the issue fee).

☐ STATEMENT UNDER 37 CFR 1.97(e)

The undersigned certifies that:

- ☐ Each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the statement, *or*
- ☐ No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned after making reasonable inquiry, was known to any individual designated in 37 CFR § 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.

☐ PRIOR APPLICATIONS

References identified with an asterisk (*) in the enclosed PTO Form 1449, were disclosed in prior Patent Application No. _____, filed _____, now U.S. Patent No. _____, and, as such, copies thereof are not included pursuant to the provisions of 37 CFR 1.98(d).

☐ FOREIGN LANGUAGE DOCUMENTS

A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO form 1449, as presently understood by the individual(s) designated in 37 CFR 1.56(c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith.

☐ **FEE AUTHORIZATION**

Please charge to Deposit Account 50-1078 the sum of 0.00. At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account 50-1078 pursuant to 37 CFR 1.25.

I hereby certify that this correspondence is being deposited with the United States Postal Service as:

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☐ I hereby certify that this paper is being facsimile transmitted to the Patent and Trademark Office on the date shown below.

Date of Facsimile:

Typed Name: Shana L. East

Signature: Shana R. East

Respectfully submitted,
Mikes, et al.

By Jon E. Holland

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Date: October 14, 2003

Telephone No. (256) 704-3900

Form PTO-1449

LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANT'S INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

ATTORNEY DOCKET NO.
10004278-1

SERIAL NO.

APPLICANT
Mikes, et al.FILING DATE
October 14, 2003

GROUP

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	*	DOCUMENT NUMBER	DATE	NAME
		6,266,140	July 24, 2001	Xiang, et al.
		5,995,221	November 30, 1999	Slutter, et al.
		5,233,405	August 3, 1993	Wildnauer, et al.
		6,181,418	January 30, 2001	Palumbo, et al.

FOREIGN PATENT DOCUMENT

		DOCUMENT NUMBER	DATE	NAME	TRANSLATION YES NO	

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

		Agilent Technologies, "American Holographic: Concave Diffraction Grating Design Guide", June 17, 2002, < http://www.agilent.com/cm/diffract/concave_dg.shtml >..
		Thermo RGL, "Diffraction Grating Handbook", Chapter 7, June 17, 2002, < http://www.gratinglab.com/library/handbook5/chapter7.asp >

EXAMINER

DATE CONSIDERED

* Copies of these references are not enclosed Pursuant to 37 CFR 1.98(d). (See accompanying IDS)